

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
P00632-US1

In Re Application Of: **CHARNLEY, James A. Jr.**

MAY 17 2002

Serial No.
10/079,022

Filing Date
02/20/2002

Examiner

Group Art Unit
2161

Title:

METHOD FOR SELECTING INVESTMENTSIN BOOK-VALUED COLLECTIVE INESTMENT FND S

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
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P00632-US1

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10/079,022

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Group Art Unit
2161

Title:

METHOD FOR SELECTING INVESTMENTS IN BOOK-VALUED COLLECTIVE INVESTMENT FUNDS

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

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- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 02-0900 as described below. A duplicate copy of this sheet is enclosed.
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David R. Josephs
Signature

David R. Josephs, Esquire, #34,632
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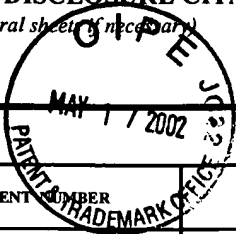
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INFORMATION DISCLOSURE CITATION

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Docket Number (Optional)

P006321

Application Number

10/079,022

Applicant(s)

CHARNLEY, James A. Jr.

Filing Date

02/20/2002

Group Art Unit

2161

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,109,475	04/28/1992	Kosaka et al.	395	22	
		5,761,442	06/02/1998	Barr et al.	395	236	
		5,774,881	06/30/1998	Friend et al.	705	36	
		5,884,287	03/16/1999	Edesess	705	36	
		5,978,778	11/02/1999	O'Shaughnessy	705	36	
		5,987,433	11/16/1999	Crapo	705	36	
		6,018,722	01/25/2000	Ray et al.	705	36	
		6,021,397	02/01/2000	Jones et al.	705	36	
		6,078,904	06/20/2000	Rebane	705	36	
		6,125,355	09/26/2000	Bekaert et al.	705	36	
		6,188,992	02/13/2001	French	705	35	

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FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,275,814	08/14/2001	Giansante et al.	705	36	
	6,292,787	09/18/2001	Scott et al.	705	36	

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FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

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GP 2161

PTO/SB/21 (08-00)

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Applicati n Number	10/079,022	
	Filing Date	02/20/2002	
	First Named Inventor	CHARNLEY, James A.	
	Group Art Unit	2161	
	Examiner Name		
Total Number of Pages in This Submission	5	Attorney Docket Number	P00632-US1

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): prior art patents for IDS
Remarks		RECEIVED MAY 21 2002 Technology Center 2100

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	David R. Josephs, Esquire BARLOW, JOSEPHS & HOLMES, LTD.
Signature	
Date	5/13/2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 5-13-2002			
Typed or printed name	Cynthia M. Branca		
Signature		Date	5-13-2002

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